



Indiana
STATE REVOLVING FUND LOAN PROGRAM
[SRF]

A Clean Water Partnership. . . Now and For the Future
APPLICATION GUIDELINES

Introduction

The Indiana State Revolving Fund (SRF) offers low interest loans to qualified communities for the planning, design, and construction of publicly-owned wastewater treatment works for the purpose of pollution abatement. The SRF is a financial assistance opportunity created by Congress to replace the Federal Construction Grants Program. The program is managed jointly by the Indiana Department of Environmental Management (IDEM) and the State Budget Agency.

General Eligibility

Communities eligible to participate in the SRF program include incorporated cities and towns, counties, sanitary districts, conservancy districts, and sewer/waste districts with an existing need for [publicly-owned] wastewater treatment works.

Completing the Application

Indiana communities interested in applying for SRF financing of their wastewater treatment projects should submit a completed SRF application form **with one copy**, to the address listed therein. **Only one application which addresses all project category financing needs for the [fiscal] year of the application should be submitted.** The application must be completed in full. Incomplete forms will be returned.

Submission of a completed application will qualify a community for placement on the Intended Use Plan (IUP)/Project Priority List (PPL). Inclusion on this list is required for SRF financing, with project readiness being a main criterion for funding priority. The IUP/PPL is prepared annually with an effective date of July 1 (expiring June 30 the following year). Applications may be submitted at any other time during the year; these projects will be placed at the bottom of the list at the next quarterly update.

The term "Preliminary Engineering Report (PER)" used in the context of the application is defined as a treatment works planning task and resulting document, prepared according to IDEM's program requirements. Once the PER is approved by IDEM, design plans and specifications can be prepared according to that plan, for IDEM approval.

CATEGORY DEFINITIONS

That portion of the cost of a wastewater treatment construction project (including an appropriate portion of administrative, legal, architect and engineering, contingency, and like costs) that is...

SECONDARY TREATMENT:...required to provide “best Practicable wastewater treatment technology” (BPWTT). Identified alternative conveyance systems for small communities (e.g., small diameter gravity, pressure, and vacuum sewers) are to be included in this category. Also included are individual on-site systems and sludge management.

ADVANCED TREATMENT:...required to achieve treatment levels more stringent than secondary. This requirement generally exists where water quality standards require removal of such pollutants as phosphorus, ammonia, nitrates, organic or other substances. Also included are polishing lagoons which temporarily retain effluents from secondary treatment facilities.

INFILTRATION/INFLOW CORRECTIONS:...required for the correction of sewer system infiltration/inflow (I/I) problems. All costs that are necessary for removing excessive I/I from the sewer system such as replacement or relining sewer sections, flow routing systems, downspout disconnections, elimination of sanitary/storm sewer cross connections etc., and including the treatment plant component costs specifically required to treat I/I flows which cannot be reduced in a cost-effective manner.

MAJOR SEWER SYSTEMS REHABILITATION:...required for replacement and/or major rehabilitation of existing sewer system throughout the municipality. Costs are applicable if the corrective actions are necessary for the total integrity of the system. Major rehabilitation is considered to be extensive repair of existing sewers (collector and interceptor) beyond the scope of normal maintenance programs, where sewers are collapsing or structurally unsound.

NEW COLLECTORS and APPURTENANCES:...required for construction of new collector sewer systems and appurtenances, designed to correct violations caused by raw discharges, seepage to water from septic tanks, and similar problems, and/or to comply with federal, state or local enforcement actions.

NEW INTERCEPTOR SEWERS:...required for construction of new interceptor sewers and transmission pumping stations necessary for the bulk transport of wastewaters. Costs for force mains and pumping stations should be included in this category.

COMBINED SEWER OVERFLOW CORRECTION:...required for construction of facilities to prevent and/or control periodic bypassing of untreated wastes from combined sewers in order to achieve water quality objectives. This category **does not** include treatment and/or control of stormwaters.

STORM WATER TREATMENT:...means a device, method, system, or systems designed to reduce, store, treat, separate, stabilize, or dispose of storm water for the purposes of preventing or abating pollution or **maintaining or improving water quality**. Systems designed solely for conveyance purposes (i.e., re-channeling) or which do not improve or mitigate water quality problems **will be deemed ineligible** for SRF funding.

State of Indiana
STATE REVOLVING FUND (SRF) LOAN PROGRAM
for Wastewater Treatment
SFY 2003
APPLICATION FORM

Please type or print legibly. Any questions regarding this application form should be directed to 317/232-8655. Return this original form **and one copy -- fully completed --** to:

State Revolving Fund (SRF) Loan Program
for Wastewater Treatment
Indiana Department of Environmental Management
Office of Water Management
100 North Senate Avenue
Indianapolis, IN 46206-6015

SECTION I. APPLICANT

A. Community:

B. Type of Community/Applicant:

G City	G Town	G Conservancy District
G County	G Township	G Other _____ (Describe)
G Sanitary District	G Regional Water, Sewer or Waste District	

C. Project is located in which **Watershed**; indicate the Lettered/Numbered area (See map for reference):

D. Authorized representative responsible for receiving and submitting documents regarding the Proposed Project (must be an official of the community):

1. Name: _____

2. Title: _____

3. Daytime Telephone No. (including Area Code): _____

4. Mailing Address (Including Zip Code): _____

E. County(ies) in which Proposed Project is located: _____

F. Township(s) in which Proposed Project is located: _____

G. Congressional District(s): _____

H. State Representative District: _____ State Senate District: _____

I. Legislative Body (eg., Common Council, Town Council, Board of Trustees, other): _____

J. Population of Service Area: _____ Census Year: _____ Median Household Income for Area _____

K. NPDES Permit No.: _____

L. Discharge Stream: _____

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SECTION II. PROJECT INFORMATION

- A. Described Proposed Project, including reason needed (i.e., compliance permit, public health, etc.). Also, identify which watershed project is located in (refer to map for reference and indicate the Lettered/Numbered area.

- B. Targeted initiation and completion dates for the Proposed Project:
(Please allow time for Department review after each phase listed below. . .Department approval is required prior to initiation of the subsequent phase.)

	Initiation Date	Completion Date
Planning (Preliminary Engineering Report/PER)	_____	_____
Design	_____	_____
Construction	_____	_____

- C. Professional Consultants retained for Proposed Project (see Section IV. Procurement):

A. Consulting Engineer

Name: _____

Address: _____

Phone: _____

Fax: _____

E-mail : _____

B. Financial Advisor

Name: _____

Address: _____

Phone: _____

C. Bond Counsel

Name: _____

Address: _____

Phone: _____

Fax: _____

D. Local Counsel

Name: _____

Address: _____

Phone: _____

Fax: _____

SECTION III. FINANCIAL ASSISTANCE REQUESTED

A. Estimated amount of financial assistance (loan) requested from the SRF (may include legal, financial and closing costs).

Estimated Total Costs

Planning \$ _____

Design \$ _____

Total \$ _____

B. CONSTRUCTION by Category:

(Refer to Category Definitions on page (ii.) Application Guidelines)

Secondary Treatment \$ _____

Advanced Treatment \$ _____

Infiltration/Inflow Correction \$ _____

Major Sewer System Rehabilitation \$ _____

New Collector Sewers \$ _____

New Interceptor Sewers \$ _____

Combined Sewer Overflow Correction \$ _____

Storm Water Treatment \$ _____
(Category subject to SRF eligibility requirements)

Construction **Total** (add all construction categories) \$ _____

TOTAL PROJECT COSTS (add Planning/Design total) \$ _____

*New collectors generally require new interceptors, so please include that cost.

C. Please identify any other funding sources being considered, the amount requested and the anticipated funding time frame:

	Being Considered YES / NO	Amount Requested \$\$\$\$	Anticipated Time Frame DATE
Indiana Department of Commerce Community Focus Fund (CFF) \$	_____	_____	_____
U.S. Department of Commerce Economic Development Administration (EDA) \$	_____	_____	_____
U.S. Department of Agriculture Rural Development (RD) \$	_____	_____	_____
Other \$:	_____	_____	_____

D. Was the Applicant ever awarded an EPA construction grant for a project similar to the Proposed Project or any portion thereof?

Yes G No G

If Yes:

1. What was (were) the date(s) of EPA construction grant award(s)?
2. Briefly described the EPA construction grant - funded facility(ies):
3. What events have occurred since construction of the EPA construction grant - funded facilities that resulted in the need for the Proposed Project?

Section IV. PROCUREMENT:

Political subdivisions conducting procurement for the uses authorized by the clean water SRF for professional services shall proceed pursuant to IC 5-16-11.1.

IC 5-16-11.1-1 Chapter 11.1. Procurement of Services of Architects, Engineers, and Land Surveyors

Sec. 1. As used in this chapter, "firm" means an individual, partnership, limited liability company, corporation, association, joint venture, or any other form of unincorporated enterprise.

As added by P.L.24-1985, SEC.16. Amended by P.L.8-1993, SEC.68.

IC 5-16-11.1-2

Sec. 2. As used in this chapter, "professional services" means those services that are:

(1) within the scope of practice specified by IC 25-4 for architecture, IC 25-31 for professional engineering, or IC 25-21.5 for land surveying; or (2) performed by any licensed architect, professional engineer, or land surveyor in connection with his professional employment or practice.

As added by P.L.24-1985, SEC.16. Amended by P.L.23-1991, SEC.2.

IC 5-16-11.1-3

Sec. 3. As used in this chapter, "public agency" includes a: (1) political subdivision as defined in IC 36-1-2-13;

(2) municipally owned utility; (3) lessor corporation leasing a school building to a school corporation under IC 21-5-11 or IC 21-5-12; or (4) lessor corporation constructing a public facility to be leased to a political subdivision.

As added by P.L.24-1985, SEC.16.

IC 5-16-11.1-4

Sec. 4. (a) When professional services are required for a project, a public agency may: (1) publish notice in accordance with IC 5-3-1; (2) provide for notice (other than notice in accordance with IC 5-3-1) as it determines is reasonably calculated to inform those performing professional services of a proposed project; (3) provide for notice in accordance with both subdivisions (1) and (2); or (4) determine not to provide any notice. (b) If the public agency provides for notice under subsection (a)(1), (a)(2), or (a)(3), each notice must include:

- (1) the location of the project;**
- (2) a general description of the project;**
- (3) the general criteria to be used in selecting professional services firms for the project;**
- (4) the place where any additional project description or specifications are on file;**
- (5) the hours of business of the public agency; and**
- (6) the last date for accepting statements of qualifications from interested parties.**

As added by P.L.24-1985, SEC.16. Amended by P.L.51-1988, SEC.1.

IC 5-16-11.1-5

Sec. 5. A public agency may make all contracts for professional services on the basis of competence and qualifications for

the type of services to be performed and negotiate compensation that the public agency determines to be reasonable.

As added by P.L.24-1985, SEC.16.

SECTION V. SIGNATURE

I certify that I am legally authorized by the legislative body to sign this application. To the best of my knowledge and belief, the foregoing information is true and correct.

Signature of Authorized Representative
(community official)

Printed or Type Name

Title of Authorized Representative

E-mail address of Authorized Representative

Date